

COMMUNITY CORRECTIONS RECOVERY PILOT PROGRAM FY 2006

GRANT APPLICATION



OFFICE OF DRUG CONTROL POLICY

JUSTICE & PUBLIC SAFETY CABINET

125 HOLMES STREET

FRANKFORT KY 40601

1-888-414-ODCP

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PROGRAM REQUIREMENTS

Administering Agency: Justice & Public Safety Cabinet
Office of Drug Control Policy
125 Holmes Street
Frankfort, KY 40601

Program Oversight: Monica L. Sacre
Office of Drug Control Policy
(502) 564-9564

Financial Oversight: Van Ingram
Compliance Branch, ODCP
(502) 564-9564

All questions regarding this grant must be submitted in written form either by e-mail or fax and will be responded to by e-mail or fax.

INTRODUCTION

This document is prepared by the Office of Drug Control Policy, Kentucky Justice & Public Safety Cabinet, to establish program, financial policy and administrative guidance for local correctional/detention recovery services provided to inmates, parolees, shock probationers and Halfway-Back participants. The fight against drugs requires the coordination and cooperation of all levels. The Office of Drug Control Policy is charged with increasing coordination among the criminal justice, treatment, recovery, and education systems to achieve a comprehensive and effective approach to drug control and rehabilitation. This grant will assist local correctional/detention facilities in creating, managing and maintaining recovery services to sentenced inmates, parolees, shock probationers and Halfway-Back participants.

This grant program will fund 24/7 residential programs consisting of a peer-driven modified therapeutic community, group and individual counseling, education and peer support.

GRANT REQUIREMENTS

- Eligible Applicants:
Any **full-service** local correctional/detention facility may apply for funding.
- Designated Grant Officials:

Project Director - The employee of the applicant agency who will be responsible for operation of the project.

Financial Officer – The chief financial officer of the applicant agency who will be responsible for all financial aspects of the grant's management including financial report preparation.

Authorized Official – The person authorized to apply for, accept, decline or cancel the grant for the applicant agency and must agree with the signature on the application cover page.
- Correctional/Detention Facilities:
The Office of Drug Control Policy will evaluate and consider each correctional/detention facility that applies for a grant according to the following criteria point system:

25 Readiness – The ability for the correctional/detention facility to segregate its population to achieve establishment of a drug treatment program.

15 Classroom Environment – The ability to set up a classroom environment quickly and inexpensively.

- 15** Past Efforts (willingness) – Correctional/Detention facilities which have attempted to begin or have begun treatment programs in the past.
- 15** Availability of Treatment – How many facilities or local community treatment facilities located in your immediate area.
- 20** Geographic Placement – Correctional/Detention facilities will be evaluated based on their geographic locations according to underserved populations.
- 5** Collaboration of Facilities – Ability for two correctional/detention facilities to collaborate in service delivery. (This is not a required criteria, however, if monies can be used jointly, extra consideration will be given to those facilities which attempt to achieve joint collaboration.)
- 5** Match Funds – Ability for correction/detention facility to match any state funds awarded through this grant. (This is not a required criteria, however, if a facility is able to match funds, extra consideration will be given to that facility.)

The Office of Drug Control Policy will ultimately give priority to those correctional/detention facilities in greatest need that meet the above criteria, achieving a cumulative score of 70 or better. The Office of Drug Control Policy may at any time, impose additional specifications to ensure service delivery.

- **Period of Grant:**
Correctional/Detention facilities under this grant program will be funded up front for the first year to cover recovery program start up costs. The term of this grant will be one year and renewable by application for two additional years upon compliance of grant terms. The second and third year funding expenses will be reimbursable. The funds granted are to provide the seed for new projects that address the specific purposes stated above for this grant. The plan encourages correctional facilities to plan for ultimately being responsible for their funded program in the likelihood that funds will expire or other priorities will redirect those funds. Because funding beyond the initial award is not guaranteed, projects should be designed with objectives achievable within the grant period - not more than one year.
- **Evaluation and Monitoring:**
Each program shall contain an evaluation component. Annual Project Reports (required reporting of a grantee) will be analyzed for evaluation purposes. However, some projects may receive intensive evaluations.

The Office of Drug Control Policy, Grants Management Branch and Department of Corrections Division of Mental Health and Substance Abuse will conduct periodic site visits to review grant compliance, assess management controls, assess the applicable activities and provide technical assistance. In addition, the grantee agrees to provide any data or information for the purposes of monitoring and program evaluation.

- **Counselor Hiring/Requirements**
Program staff will comply with the minimum qualifications as outlined in the AOD Regulations (see outline attached).
- Office of Drug Control Policy reserves the right to review any and all applicants for counselor positions to ensure compliance with the above AOD Regulations.
- **Other Requirements**
This grant program will participate in the Criminal Justice Drug Abuse Treatment Studies (CJ-DATS) initiative, therefore, the correctional/detention facility chosen for grant funds must participate in this program as a grant requirement. Applicant will provide, with the grant application, a copy of the latest complete jail inspection and a copy of any corrective action(s).

GENERAL FINANCIAL REQUIREMENTS

- Expenditures by Budget Categories

The following is an overall view of all costs associated with grant funds:

- Personnel – No grant will be made to supplement a salary for an existing position. Salary for a counselor position shall comply with state, city or county classification systems and shall be documented by appropriate time and attendance records. Charges of the employee's time assigned to grant projects may be reimbursed or recognized only to the extent they are directly and exclusively related to grant purposes. In no case is dual compensation allowable.

The counselor's position must be listed by title, name and credentials (if available), monthly salary rate, percentage of the employee's time to be devoted to the project and total employee cost for the project. ODCP must be notified of any change in personnel

- Fringe Benefits – Payments for fringe benefits are allowable personnel costs and cannot exceed the amount paid by the employer. The fringe benefits must be reasonable and in line with state, city or county rates. Documentation must be submitted with the budget to reflect the actual rates being paid by the employer. The following are considered allowable benefits:

- A. Health and Life Insurance
- B. FICA
- C. Retirement
- D. Worker's Compensation
- E. Unemployment Insurance

- Contractual Services

Compensation – Individual consultant services are to be reasonable and consistent with that paid for similar services in the market place. The policy is that the maximum rate for consultants is \$250 (excluding travel and subsistence costs) for an 8-hour day or \$31.25 per hour. An 8-hour day may include preparation, evaluation and travel time in addition to the time required for the actual performance. Additionally, travel and subsistence costs may be paid. A request for compensation for over \$250 a day requires prior approval and additional justification.

Arrangements – Arrangements with individuals must ensure that:

Dual compensation is not involved (i.e., the individual may not receive compensation from his regular employer and the applicant for work performed during a single period of time even though the services performed benefit both).

The contractual agreement is written, formal, proper and otherwise consistent with the applicant's usual practices.

Time and/or services for which payment will be made and rates of compensation must be supported by adequate documentation.

Travel and subsistence costs are at an identified rate consistent with requirements described below.

- Travel

Travel Funds – May be used for transportation, subsistence and registration fees for applicants to attend conferences and training seminars. Travel must be approved through the original grant application or subsequent grant adjustment notice. All applicants' travel expenses shall not exceed the established mileage and subsistence policy as set forth by the Commonwealth of Kentucky, Finance and Administration Cabinet.

Standard Subsistence will follow state regulations currently as follows:

| | | | |
|--------|-----------|------|--------------------------|
| Meals: | Breakfast | \$7 | (6:30 a.m. - 9:00 a.m.) |
| | Lunch | \$8 | (11:00 a.m. - 2:00 p.m.) |
| | Dinner | \$15 | (5:00 p.m. - 9:00 p.m.) |

Lodging: Actual, most economical

Mileage: State Rate, pursuant to 200 KAR 2:006 (currently .43 mile)

High Rate Subsistence – Rates may be obtained through the Cabinet.

Eligibility for Travel Reimbursement - To be eligible for reimbursement for meal expenses while traveling in Kentucky, the applicant is required to stay overnight at a destination more than 40 miles from their work station and home.

Transportation must be the most economical. Bus, subway and taxi fares are allowed for city travel. Commercial airline travel shall be coach/tourist class. Additional expense for first class travel will not be allowed as part of funding of grants. The cost of rental cars in lieu of ordinary transportation will be allowed only with acceptable justification. Actual parking, bridge and toll charges are reimbursable. Reasonable expenses for baggage handling, for delivery to or from a common carrier or lodging and for storage are reimbursable. Registration fees required for admittance to official travel meetings are reimbursable. If the fee entitles registrants to meals, claims for subsistence must be reduced. Telephone, tip charges, and laundry charges are not reimbursable with grant funds.

All expenses shall be supported by documentation that indicates destination, time and purpose of travel.

- Operating Expenses

Expenses – Includes items necessary and essential for the initial set-up and ongoing operation of the project. Items must be individually listed and approved through the original grant application or in subsequent grant adjustment notices prior to the actual expense.

- Equipment

Authorization - The correctional facility may be allotted 10% of the grant funds for minor facility adjustments and/or equipment to start up the facility based on the applicant's demonstration that the requested equipment is necessary and essential. The applicant must adhere to the following principles:

No other equipment owned by the applicant is suitable for the effort.

Grant funds are not to be used for reimbursement of a purchase for equipment already owned by the applicant. Equipment that has already been purchased and charged to other activities of the applicant will not be an allowable expense to the grant.

Equipment purchased and used commonly for two or more programs has been appropriately prorated to each activity.

Items of equipment must be individually listed and approved through the original grant application or in subsequent grant adjustment notices prior to the purchase of the equipment.

In the event a grant is terminated before two successful grant cycles, any and all equipment purchased with grant funds will be returned to the Office of Drug Control Policy. Upon two successful grant cycles, any equipment purchased with grant funds will remain with the grantee.

GRANT APPLICATION CHECKLIST

This checklist is for your convenience in preparing, completing and submitting your grant application. It is for your use only and does not need to be submitted.

1. *Send the Original and four (4) copies of the completed grant application to:*

Monica L. Sacre
Justice and Public Safety Cabinet
Office of Drug Control Policy
125 Holmes Street
Frankfort, Kentucky 40601

2. *A complete application must contain the following:*

- Application
- Completed signature page, including appropriate signatures.
- Letters of Support from two of the following stakeholders in the community(ies) served:
 - County Judge Executive
 - County Attorney
 - Commonwealth's Attorney
 - Sheriff
 - Chief of Police
 - Fiscal Court
- The most current audit report available is required with the submission of the grant application. Future audits are due no later than nine (9) months after the close of each fiscal year during the term of the grant award.
- Budget Pages: Sections I-VI and Detailed Project Budget
- Signed Grant Conditions signature page.
- ***Prior to submission, check all forms for signatures of applicant agency head.***

APPLICATION FOR GRANT FUNDING

Applicant Agency: _____

EIN No. _____
(Employer Identification Number)

Counties Served: _____

Is your correctional/detention facility in compliance with Kentucky Department of Corrections Jail Standards: Yes _____ No _____

Name of the official ensuring compliance with civil rights regulations: _____

Authorizing Official:

Project Director/Contact

Financial Officer

Name: _____

Title: _____

Address: _____

City, Zip: _____

Phone No: _____

Fax No: _____

E-Mail: _____

Original Signatures Required:

Authorizing Official

Grant Contact

Financial Officer

Budget Request Summary:

Personnel (Including Fringe): _____

Contracts/Consultants: _____

Travel: _____

Operating/Supplies: _____

Facility Adjustment/ Equipment: _____

Totals: _____

SECTION I—STATEMENT OF PROBLEM

Instructions:

To be eligible for consideration, each application must address all points in sequence. Applications that do not address each point will be removed from the review process. Responses may be submitted on a separate sheet of paper; however, do not exceed page limits for each Section. A standard font style and point size of 10-12 is required.

1. Briefly describe the specific problem that will be addressed using grant funds.
2. You must include data for your area that will demonstrate this problem (e.g. average daily population, average daily population incarcerated on drug related offenses).

SECTIONS II & III—GOALS AND OBJECTIVES

1. Section II Goals – In one or two sentences, state the long-term effect the project should achieve.
2. Section III Objectives – Objectives should identify a measurable result that the project will attempt to achieve. Objective statements should begin with “to” and should address the realities of goal accomplishment quantitatively.

SECTION IV—PROJECT ACTIVITIES AND OPERATIONS

Provide a concise summary of the proposed project identifying the major tasks necessary to implement this project in the order in which they will occur. This section should answer the questions: Who? What? When? Where? How? Include a timetable for completing these tasks and the research-based or best practice programming.

SECTION V—PERFORMANCE MEASURES (MONITORING & EVALUATION CRITERIA)

List each objective identified in Section III and identify the statistics that will be collected to evaluate their achievement. Ideally, an evaluation of a project will consist of more than the accumulation of quantitative information (process measures) on the delivery of services, personnel utilized, and funds spent. It will also provide a qualitative assessment (outcome measures) of the overall impact of the project. Definitions of process and outcome evaluation are included below.

Process evaluation measures the effort and efficiency of the program toward achieving the stated objectives. Examples of process indicators are number of clients served; number and types of services provided; number and types of educational materials distributed; cost per person served.

Outcome evaluation will be conducted by the University of Kentucky Center on Drug and Alcohol Research (CDAR). All programs will be expected to participate.

SECTION VI—BUDGET NARRATIVE

Provide a narrative detailing the necessity of all project costs. (No page limit.)

Example: 100 urine screens at \$10 each = \$1,000

Limit Sections I-V response to one page each.

SECTION VII—DETAILED PROJECT BUDGET

1. Personnel – List all project staff to be paid. See program Guidelines to clarify eligibility of personnel as project charges. Round all amounts to the nearest dollar. Complete all information.

- **Name (if known):** _____
Position: _____
Total Annual Salary: _____
% of Time Spent on Project: _____
Annual Project Salary: _____
Total Fringe Benefits: _____

- **Name (if known):** _____
Position: _____
Total Annual Salary: _____
% of Time Spent on Project: _____
Annual Project Salary: _____
Total Fringe Benefits: _____

2. Operating Expenses – Any supplies needed to start up/operate the recovery program:

| Item: | Cost: |
|-------|-------|
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |

3. Equipment – Any items needed to start up/operate the recovery program:

| Item: | Cost: |
|-------|-------|
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |

GRANT CONDITIONS AND CERTIFICATION

All applicants must assure that they understand and agree to abide by all grant conditions. A signed copy of the certified assurances must be returned to the Office of Drug Control Policy within 15 days of receipt.

1. The applicant assures that the agency possesses legal authority to apply for the grant; that resolution, notion, or similar action has been duly adopted or passes as an official act of the applicant's governing body, authorizing the filing of the application including all understandings and assurances contained therein, and directing the authorizing person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. The applicant must submit letters of support from two of the following stakeholders in the community(ies) served:
 - County Judge Executive
 - County Attorney
 - Commonwealth's Attorney
 - Sheriff
 - Chief of Police
 - Fiscal Court
3. ***Discrimination prohibited.*** The grantee agrees to assure that no person shall be excluded from participation in, denied the benefits of, subjected to discrimination under or denied employment in connection with any activity receiving funds from the Office of Drug Control Policy on the basis of race, color, religion, national origin, sex, handicap, veteran status, sexual preference or age. The grantee shall also assure the designation of an employee who will have lead responsibility for insuring grantee's compliance with civil rights regulations.
4. If the applicant agency or grantee is a faith-based organization, they must comply with federal guidelines related to faith-based organizations. Proselytizing during program hours is prohibited.
5. The applicant agrees to establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business or other ties.
6. The applicant will give the Office of Drug Control Policy, through any authorized representative, the access to and the right to examine all records, books, papers or documents related to the grant.
7. The applicant understands that whoever embezzles, willfully misapplies, steals or obtains by fraud any funds, assets or property which are the subject of a grant or contract or other form of assistance, whether received directly or indirectly from the Office of Drug Control Policy, will be fined not more than \$10,000.00 or imprisoned for not more than five (5) years, or both. Whoever knowingly falsifies, conceals or covers up by trick, scheme or device, any material fact in any application for assistance or in any record required to be maintained, will be subject to prosecution under the provisions of Section 1001 of Title 18, United States Code. Any law enforcement program or project underwritten in whole or in part by any grantee, or contract or other form of assistance, whether received directly or indirectly from the Justice and Public Safety Cabinet will be subject to the provisions of Section 371 of Title 18, United States Code.
8. The applicant agrees to implement this project within 90 days following the grant award effective date or may be subject to cancellation of the grant. Evidence of project implementations must be reported to this office within the first 90 days. If the project is not operational within 120 days after acceptance of the award, a further statement explaining the implementation delay will be submitted by the grantee to the Office of Drug Control Policy. Upon receipt of the 120-day letter the Office of Drug Control Policy may cancel the project and redistribute the funds to other program areas.

9. The applicant understands that grant funds made available will not be used to supplant other state or local funds, but will be used to initiate, enhance and/or expand the recovery program.
10. The applicant understands that grant funds may not be obligated prior to the effective date of the grant or subsequent to the termination date of the grant period. Obligations outstanding as of the termination date shall be liquidated within 90 days after the termination of the grant period.
11. The applicant agrees that no contract or agreement may be entered into by the grantee for execution of project activities or provision of services to a grant project (other than the purchase of supplies or standard commercial or maintenance services) which is not incorporated in the approved application. Any such arrangements will provide that the grantee will retain ultimate control and responsibility for the project and that the contractor will be bound by these conditions as well as the grantee.
12. The applicant agrees that fund accounting, auditing, monitoring and evaluation procedures, as may be necessary to keep records as the Kentucky Justice and Public Safety Cabinet shall prescribe, will be provided to assure fiscal control, proper management and efficient distribution of funds received under the Office Drug Control Policy.
 - The applicant agrees that it will maintain dates and information and submit reports in a designated format, in a timely manner and containing information as the Kentucky Justice and Public Safety Cabinet or the Office of Drug Control Policy may require. Such data must be maintained at the applicant's office, regardless of whether the administration of that office has changed.
 - The applicant understands that if the requested project is funded, continuation is not guaranteed. The applicant further assures that if the project is successful, every effort will be made for the project to be continued with local or general funds.
13. The applicant assures that it will not release the individual names of clients served by the program. The applicant further assures that all information collected on clients will remain confidential. If the applicant is subject to the provisions of the Health Insurance Portability and Accountability Act of 1996 (HIPAA), it will adhere to all HIPAA requirements. Any research studies the applicant conducts will conform to the confidentiality of 42 CFR Part 2.
14. The applicant understands that a grant may be terminated or fund payments discontinued by the Office of Drug Control Policy where it finds a substantial failure to comply with the provisions under which the application was made or regulations promulgated, including these grant conditions or application obligations, but only after notice and hearing and pursuant to all procedures set forth in Sections 510 and 511 of Public Law 90-351, as amended.
15. The applicant agrees that should the Kentucky Justice and Public Safety Cabinet determine that it needs to take legal action against the applicant for actions arising out of the grant, the applicant will waive jurisdiction and have the case heard in either state or federal court in Franklin County, Kentucky.

CERTIFICATION OF GRANT CONDITIONS

I have read and understand all grant conditions and assure that the project(s) proposed in this application meet all the requirements of the Office of Drug Control Policy, all the information presented is correct, there has been appropriate coordination with affected agencies, and the applicant will comply with all grant provisions stated herein. By appropriate language incorporated in each grant, subgrant or other document under which funds are to be disbursed, the undersigned assures that the applicable conditions above apply to all recipients of funds from the Office of Drug Control Policy.

Signature of Authorizing Official

Title of Authorizing Official

Date